

This Page Is Inserted by IFW Operations
and is not a part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

IMAGES ARE BEST AVAILABLE COPY.

**As rescanning documents *will not* correct images,
please do not report the images to the
Image Problem Mailbox.**

Date April 20, 2004

Number of pages (including cover): 8

F A X C O V E R

To PTO Office of Initial Patent Examination

Company: United States Patent and Trademark Office

Serial No.: 10/705,643

Filed: November 10, 2003

Title: METHODS AND APPARATUS FOR GENERATING AND MODULATING ILLUMINATION CONDITIONS

Conf. No.: 2875

Fax: 703-746-9195

From Joseph Teja, Jr.

Direct dial 617-395-7017

Our File # C1104/7061.20

ORIGINAL DOCUMENTS SENT: ☐ 1st Class Mail ☐ Overnight Mail ☐ Air Mail ☒ Not Sent**CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being transmitted via facsimile to the attention of Office of Initial Patent Examination, at FAX number 703-746-9195 at the United States Patent and Trademark Office on April 20 2004.

Jeanne W. Chub

Transmitted herewith are the following documents:

- Request for Corrected Filing Receipt
- Copy of Filing Receipt mailed February 25, 2004
- Copy of Express Mail Label EV308899101US
- Copy of Express Mail Log dated November 10, 2003

This transmission contains confidential information intended for use only by the above-named recipient. Reading, discussing, distributing, or copying this message by anyone other than the named recipient, or his or her employees or agents, is strictly prohibited. If you have received this fax in error, please notify us immediately by telephone, and destroy the original message.

IF YOU DID NOT RECEIVE ALL OF THE PAGES OF THIS TRANSMISSION OR IF ANY OF THE PAGES ARE ILLEGIBLE, PLEASE CALL (617) 395-7000 IMMEDIATELY.

PATENTS TRADEMARKS COPYRIGHTS TECHNOLOGY TRANSFERS LITIGATION

Riverfront Office Park, One Main Street, Eleventh Floor, Cambridge, MA 02142 T 17-395-7000 F 17-395-7070

www.ll-a.com

740969.1

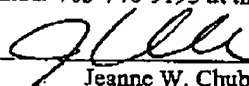
ATTORNEY DOCKET NO: C1104-7061.20

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: George G. Mueller, et al.
Serial No: 10/705,643
Confirmation No: 4766
Filed: November 10, 2003
For: METHODS AND APPARATUS FOR GENERATING AND
MODULATING ILLUMINATION CONDITIONS
Examiner: Not yet assigned
Art Unit: 2875

CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being transmitted via facsimile to the attention of Office of Initial Patent Examination at FAX number 703-746-9195 at the United States Patent and Trademark Office on the 20 day of April, 2004.


Jeanne W. Chub

Office of Initial Patent Examination

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Transmitted herewith are the following documents:

- ☒ Request for Corrected Filing Receipt
- ☒ Copy of Filing Receipt mailed February 25, 2004
- ☒ Copy of Express Mail Label EV308899101US
- ☒ Copy of Express Mail Log

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 395-7000.

A check is not enclosed. If a fee is required, the Commissioner is hereby authorized to charge Deposit Account No. 50/2762. A duplicate of this sheet is enclosed.

Respectfully submitted,
George G. Mueller, et al., Applicants

By: 

Joseph Teja, Jr., Reg. No. 45,157
LOWRIE, LANDO & ANASTASI, LLP
Riverfront Office Park
One Main Street
Cambridge, Massachusetts 02142
Tel. (617) 395-7000

April 20, 2004

740966.1

ATTORNEY DOCKET NO: C1104-7061.20

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: George G. Mueller, et al.
Serial No: 10/705,643
Confirmation No: 4766
Filed: November 10, 2003
For: METHODS AND APPARATUS FOR GENERATING AND
MODULATING ILLUMINATION CONDITIONS
Examiner: Not yet assigned
Art Unit: 2875

CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being transmitted via facsimile to the attention of Office of Initial Patent Examination at FAX number 703-746-9195 at the United States Patent and Trademark Office on the ____ day of April, 2004.

Jeanne W. Chub

Office of Initial Patent Examination
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTED FILING RECEIPT
TO CORRECT FILING DATE**

Sir/Madame:

Enclosed is a copy of a Filing Receipt mailed February 25, 2004 indicating a filing date of 11/11/2003. Applicants respectfully request a Corrected Filing Receipt with the filing date indicated as 11/10/2003, the date this application was filed. A copy of Express Mail Label EV308899101US is also enclosed, which shows the Post Office's Official date stamp as Nov 10 2003. A copy of the attorney Express Mail Log also indicates that Express Mail Label EV308899101US was mailed on 11/10/03.

740967.1

Serial No.: 10/705,643
Docket No.: C1104-7061.20
Art Unit: 2875
Page 2 of 2

It is respectfully requested that a Corrected Filing Receipt with a filing date of 11/10/2003 be forwarded to the Applicants' attorney at the earliest convenience. No additional fee or certification is believed to be required. However, if for any reason a fee is necessary, the Commissioner is hereby authorized and requested to charge Deposit Account No. 50/2762.

Respectfully submitted,
George G. Mueller, et al., Applicants

By: 

Joseph Teja, Jr., Reg. No. 45,157
LOWRIE, LANDO & ANASTASI, LLP
Riverfront Office Park
One Main Street
Cambridge, Massachusetts 02142
Tel. (617) 395-7000

April 22, 2004

COPYPage 1 of 2
Reviewed by
Docketing
Completion

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1433
Alexandria, Virginia 22313-1433
www.uspto.gov

should be 11/10/2003

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/705,648	11/11/2003	2875	1356	C1104-7061.20	23	43	5

37462

LOWRIE, LANDO & ANASTASI
RIVERFRONT OFFICE
ONE MAIN STREET, ELEVENTH FLOOR
CAMBRIDGE, MA 02142

CONFIRMATION NO. 4766

FILING RECEIPT



OC000000011963255

Date Mailed: 02/25/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Alfred D. Ducharme, Tewksbury, MA;
Frederick M. Morgan, Quincy, MA;
Ihor A. Lys, Boston, MA;
Kevin J. Dowling, Westford, MA;
George G. Mueller, Boston, MA;

Assignment For Published Patent Application

Color Kinetics, Incorporated, Boston, MA;

Domestic Priority data as claimed by applicant

This application is a CON of 09/716,819 11/20/2000
which claims benefit of 60/166,533 11/18/1999
and claims benefit of 60/201,140 05/02/2000
and claims benefit of 60/235,678 09/27/2000

Foreign Applications

If Required, Foreign Filing License Granted: 02/24/2004

Projected Publication Date: 06/03/2004

Non-Publication Request: No

Early Publication Request: No

COPY

Title

Methods and apparatus for generating and modulating illumination conditions

Preliminary Class

362

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.






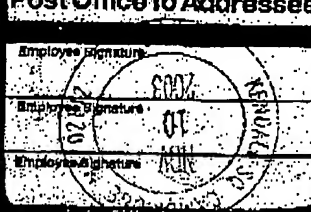
This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

COPY

 EV 308899101 US		 EXPRESS MAIL UNITED STATES POSTAL SERVICE®		Customer Copy Label 7-5 June 2002	
ORIGIN (POSTAL USE ONLY)					
PO ZIP Code 02142		Day of Delivery <input type="checkbox"/> First <input checked="" type="checkbox"/> Second <input checked="" type="checkbox"/> Third		Flat Rate Envelope <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Date in 10-11-03		Postage \$ 13.65		Return Receipt Fee <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Time 4:38 PM		Weight 1.62 lbs.		Int'l Alpha Country Code 00	
Vol. (oz) 22.8		Int'l Alpha Country Code 00		COD Fee <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
No Delivery <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Acceptance <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Total Postage & Fees \$ 13.65	
DELIVERY (POSTAL USE ONLY)					
Delivery Attempt <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Time <input type="checkbox"/> AM <input checked="" type="checkbox"/> PM		Employee Signature 	
Delivery Attempt <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Time <input type="checkbox"/> AM <input checked="" type="checkbox"/> PM		Employee Signature 	
Delivery Date <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Time <input type="checkbox"/> AM <input checked="" type="checkbox"/> PM		Employee Signature 	
Post Office To Addressee 					
CUSTOMER SERVICE METHOD OF PAYMENT Business Mail Customer Acct. No.					
FROM: (PLEASE PRINT) Joseph Teja, Jr. LOWRIE, LANDO & ANASTASI 1 MAIN ST STE 11 RIVERFRONT OFFICE PARK CAMBRIDGE MA 02142-1517					
TO: (PLEASE PRINT) MAILSTOP Patent Application COMMISSIONER FOR PATENTS PO BOX 1450 ALEXANDRIA VA 22313-1450					
PRESS HERE You are making 3 copies. FOR PICKUP OR TRACKING CALL 1-800-222-1811 www.usps.com					

Express Mail Log

COPY

Date In: 11/10/03

Express Mail Label No.	LL&A Docket No.	Serial No.	Time In (From label)	Receipt received by	Postage \$ (Required)
EV 308930813US	110134-1016AD	PCT10503	4:39		13.65
EV 308924523US	110128-103400	PCT10503	4:40		13.65
		22435			
EV 307782849US	110607-7000.00		4:30		17.85
EV 308899101US	110604-7061.20		4:38		17.85
<div style="text-align: center; font-size: 4em;">X</div>					

I hereby certify that I did personally deliver to a clerk of the United States Postal Service at the facility located at Handell each of the above-identified Express Mail items, on the date and time indicated above.

Signature D. Francis

Date 11/11/03

Printed Name D. Francis

Please fill this log in completely. The Postage \$ amount must be listed, even if drawn from the U-A meter. Use through any unused spaces below the last Express Mail Label No. entered. All items listed must be delivered to the United States Postal Service on the Date In date inserted in the header of this Log. The certification should be completed, signed and dated by the business day following the delivery of the listed Express Mail items to the United States Postal Service. If completed later, attach a signed explanation of the circumstances.